

# **Exhibit 1 to Proposed Shah Declaration**



Dispute Resolution Portal

- Home
- Arbitration Cases
- Mediation Cases
- Arbitration Claims
- Messages (106 Unread)

22-02539 Simon D. Andriesz vs. BGC Financial, L.P., Cantor Fitzgerald & Co., Jean Pierre Aubin, Michael Carl Sulfaro, et al.

Arbitration Case Abstract Submit Documents

<b>Case Status:</b> Closed	<b>Milestones</b>	<b>Assigned Staff</b>
<b>Filed On Date:</b> 11/08/2022	<b>Case Received:</b> 11/08/2022	Leonie Feliciano
<b>Office:</b> New York	<b>Claim Served on Respondents:</b> 11/17/2022	FINRA Dispute Resolution Services
<b>Hearing Location:</b> New York, NY	<b>Award Served on Parties:</b> 06/17/2024	Brookfield Place
	<b>Case Closed:</b> 06/17/2024	200 Liberty Street
		New York, New York 10281
		Phone: 212-858-3928
		E-mail: <a href="mailto:Neprocessingcenter@finra.org">Neprocessingcenter@finra.org</a>

- Messages (66) Details Pleadings Deficiencies List Selection Hearings Scheduling Documents (49) Drafts & Submissions Fees

Documents

In the Documents column, click “Expand All” in the column header, or click the plus sign (+) to see the list of documents for that Subject.

Subject	Portal Posted Date	Documents (File Date) Expand All	Sent By
FINRA Correspondence	09/30/2024	Document List	FINRA DR
Submitted Documents by Party	09/25/2024	Document List	Nirav S Shah, Esq.
FINRA Correspondence	07/11/2024	Response Claimant's Request for an Explained Decision.pdf (07/11/2024)	FINRA DR
Documents Sent by Another Party	07/08/2024	Andriesz BGC FINRA Letter S 7 8 24.pdf (07/08/2024)	Neal Brickman, Esq.
FINRA Correspondence	07/05/2024	Closed Case - Does Not Comply.pdf (07/05/2024)	FINRA DR
Documents Sent by Another Party	07/03/2024	Andriesz Panel Letter S July 2 2024.pdf (07/03/2024)	Neal Brickman, Esq.
Award	06/17/2024	Award Payment 30 Day Warning.pdf (06/17/2024)	FINRA DR
Award	06/17/2024	Document List CREATE MERGED FILE Award Service Letter.pdf (06/17/2024) 22-02539 Award.pdf (06/17/2024)	FINRA DR
FINRA Correspondence	05/13/2024	Document List	FINRA DR
Submitted Documents by Party	05/10/2024	Document List	Nirav S Shah, Esq.
Documents Sent by Another Party	05/10/2024	Andriesz BGC Panel Supp Resp.pdf (05/10/2024)	Neal Brickman, Esq.
Arbitrator Disclosure(s)	05/08/2024	Document List	FINRA DR

Subject	Portal Posted Date	Documents (File Date) Expand All	Sent By
Order	05/06/2024	Document List	FINRA DR
FINRA Correspondence	04/15/2024	Document List	FINRA DR
Submitted Documents by Party	04/12/2024	Document List	Nirav S Shah, Esq.
Documents Sent by Another Party	04/12/2024	SA Memorandum April 12 2024.pdf (04/12/2024)	Neal Brickman, Esq.
FINRA Correspondence	04/01/2024	Document List	FINRA DR
Documents Sent by Another Party	04/01/2024	Andriesz FINRA Panel Letter April 1 2024_.pdf (04/01/2024)	Neal Brickman, Esq.
Order	03/19/2024	Document List	FINRA DR
FINRA Correspondence	03/15/2024	Document List	FINRA DR
Documents Sent by Another Party	03/15/2024	Andriesz FINRA Letter S 3 15 2024.pdf (03/15/2024)	Neal Brickman, Esq.
Submitted Documents by Party	03/15/2024	Document List	Nirav S Shah, Esq.
FINRA Time Sensitive Correspondence	03/14/2024	Chair's Request for Hearing Format Preference.pdf (03/14/2024)	FINRA DR
Scheduling Correspondence	03/13/2024	Hearing Location Letter-1.pdf (03/13/2024)	FINRA DR
Documents Sent by Another Party	03/07/2024	Andriesz FINRA Panel Letter S March 7 2024.pdf (03/07/2024)	Neal Brickman, Esq.